

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

DOCKET NO.:

APPLICANT OR PATENTEE : Walter A. Johanson and James E. Eisenman  
SERIAL or PATENT NO. :  
FILED or ISSUED : July 27, 2001  
TITLE : LIGHT TUBE SYSTEM FOR DISTRIBUTING SUNLIGHT OR  
ARTIFICIAL LIGHT SINGLE OR IN COMBINATION

**SMALL ENTITY DECLARATION**

☒ FOR INDEPENDENT INVENTOR(S)

As a below-named inventor, I hereby declare that I am an independent inventor who (1) has not assigned, granted, conveyed, or licensed, and (2) is under no obligation under contract or law, to assign, grant, convey, or license, any rights in the invention, to any person who could not likewise be classified as an independent inventor if that person had made the invention, or to any concern which would not qualify as a small business concern or a nonprofit organization, as defined in 37 CFR 1.9.

☐ FOR SMALL BUSINESS CONCERN

I hereby declare that \_\_\_\_\_ is a business concern which qualifies as a small business concern as defined in §1.9(d) - namely, (1) whose number of employees, including those of its affiliates, does not exceed 500 persons; and (2) which has not assigned, granted, conveyed, or licensed, and is under no obligation under contract or law to assign, grant, convey, or license, any rights in the invention to any person who could not be classified as an independent inventor if that person had made the invention, or to any concern which would not qualify as a small business concern or a nonprofit organization under this section; and that the exclusive rights to the invention have been conveyed to and remain with the above-identified small business concern.

I further declare that all statements made herein of my own knowledge are true and all statements made on information and belief are believed to be true; and further, that these statements were made with the knowledge that willful, false statements and the like, so made, are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful, false statements may jeopardize the validity of the patent application or any patent issuing thereon.

Each of the undersigned hereby grants the firm of **GALGANO & BURKE**, 300 Rabro Drive, Hauppauge, New York 11788, U.S.A., the power to insert in this Small Entity Declaration any further identification which may be necessary or desirable to comply with the rules of the U.S. Patent and Trademark Office for filing and acceptance of this Declaration.

INVENTOR(S)

SMALL BUSINESS CONCERN:

\_\_\_\_\_  
Name: Walter A. Johanson  
Date:

By \_\_\_\_\_  
Name : \_\_\_\_\_  
Title: \_\_\_\_\_  
Date : \_\_\_\_\_

\_\_\_\_\_  
Name: James E. Eisenman  
Date:

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**LIGHT TUBE SYSTEM FOR DISTRIBUTING SUNLIGHT  
OR ARTIFICIAL LIGHT SINGLY OR IN COMBINATION**

the specification of which (check only one item below):

- ☒ [ X] is attached hereto.  
☐ [ ] was filed as United States application  
Serial No. \_\_\_\_\_  
on \_\_\_\_\_,  
and was amended  
on \_\_\_\_\_ (if applicable).  
☐ [ ] was filed as PCT international application  
Number \_\_\_\_\_  
on \_\_\_\_\_,  
and was amended under PCT Article 19  
on \_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability of this application as defined in Title 37, Code of Federal Regulations, §1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate or of any PCT international application(s) designating at least one country other than the United States of America listed below and have also identified below any foreign application(s) for patent or inventor's certificate or any PCT international application(s) designating at least one country other than the United States of America filed by me on the same subject matter having a filing date before that of the application(s) of which priority is claimed:

**PRIOR FOREIGN/PCT APPLICATION(S) AND ANY PRIORITY CLAIMS UNDER 35 U.S.C. 119:**

COUNTRY (if PCT, indicate "PCT")	APPLICATION NUMBER	DATE OF FILING (day, month, year)	PRIORITY CLAIMED UNDER 35 USC 119
United States	60\221,604	July 28, 2000	<input checked="" type="checkbox"/> [ X] YES <input type="checkbox"/> [ ] NO
			<input type="checkbox"/> [ ] YES <input type="checkbox"/> [ ] NO
			<input type="checkbox"/> [ ] YES <input type="checkbox"/> [ ] NO

<b>COMBINED DECLARATION FOR PATENT APPLICATION AND POWER OF ATTORNEY</b> (Includes Reference to PCT International Applications)				ATTORNEY'S DOCKET NUMBER 117-19	
I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) or PCT international application(s) designating the United States of America that is/are listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in that/those prior application(s) in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, §1.56 which became available between the filing date of the prior application(s) and the national or PCT international filing date of this application:					
<b>PRIOR U.S. APPLICATIONS OR PCT INTERNATIONAL APPLICATIONS DESIGNATING THE U.S. FOR BENEFIT UNDER 35 U.S.C. 120:</b>					
U.S. APPLICATIONS			STATUS (Check One)		
U.S. APPLICATION NUMBER	U.S. FILING DATE		PATENTED	PENDING	ABANDONED
PCT APPLICATIONS DESIGNATING THE U.S.					
PCT APPLICATION NO.	PCT FILING DATE	U.S. SERIAL NUMBERS ASSIGNED (if any)			
POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith. (List name and registration numbers): <div style="text-align: center; margin-top: 5px;"> <b>THOMAS M. GALGANO</b>, Registration No. 27,638  <b>DANIEL P. BURKE</b>, Registration No. 30,735         </div>					
Send Correspondence to: <b>Daniel P. Burke, Esq., GALGANO &amp; BURKE</b> 300 Rabro Drive, Suite 135, Hauppauge, New York 11788				Direct Telephone Calls to: (name and telephone number) (631) 582-6161	
2	FULL NAME OF INVENTOR	FAMILY NAME <b>Johanson</b>	FIRST GIVEN NAME <b>Walter</b>	SECOND GIVEN NAME <b>A.</b>	
	RESIDENCE & CITIZENSHIP	CITY <b>St. Paul</b>	STATE OR FOREIGN COUNTRY <b>Minnesota</b>	COUNTRY OF CITIZENSHIP <b>United States</b>	
	POST OFFICE ADDRESS	POST OFFICE ADDRESS <b>250 E. 5th Street</b>	CITY <b>St. Paul</b>	STATE & ZIP CODE/COUNTRY <b>Minnesota 55101</b>	
2	FULL NAME OF INVENTOR	FAMILY NAME <b>Eisenman</b>	FIRST GIVEN NAME <b>James</b>	SECOND GIVEN NAME <b>E.</b>	
	RESIDENCE & CITIZENSHIP	CITY <b>Laurel Hollow</b>	STATE OR FOREIGN COUNTRY <b>New York</b>	COUNTRY OF CITIZENSHIP <b>United States</b>	
	POST OFFICE ADDRESS	POST OFFICE ADDRESS <b>1650 Moores Hill Road</b>	CITY <b>Laurel Hollow</b>	STATE & ZIP CODE/COUNTRY <b>New York</b>	
3	FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME	
	RESIDENCE & CITIZENSHIP	CITY	STATE OR FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP	
	POST OFFICE ADDRESS	POST OFFICE ADDRESS	CITY	STATE & ZIP CODE/COUNTRY	
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.					
SIGNATURE OF INVENTOR 201		SIGNATURE OF INVENTOR 202		SIGNATURE OF INVENTOR 203	
DATE		DATE		DATE	